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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

501.38435VX1

First Inventor

MITANI, SHINICHIRO

Title

A SEMICONDUCTOR DEVICE

Express Mail Label No.

**APPLICATION ELEMENTS**

SEE MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27

3. ☒ Specification [Total Pages: 61]  
(preferred arrangement set forth below)

-Descriptive title of the invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R & D  
-Reference to sequence listing, a table,  
or a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Pages: 22]

5. Oath or Declaration [Total Pages: 4]

- a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☐ paper

c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & documents(s))

10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)

11. ☐ English Translation Document (if applicable)

12. ☒ Information Disclosure ☐ Copies of IDS Citations  
Statement (IDS)/PTO-1449

13. ☒ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.

17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/554,754

Prior application information: Examiner: D. Nhu Group Art Unit: 2818

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label

020457

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name **ANTONELLI, TERRY, STOUT & KRAUS, LLP**

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Code

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Name **Gregory E. Montone**

Registration No. (Attorney/Agent)

28,141

Signature

Date

February 28, 2002

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

**Complete if Known**

|                      |                    |
|----------------------|--------------------|
| Application Number   | Not yet assigned   |
| Filing Date          | On even date       |
| First Named Inventor | MITANI, SHINICHIRO |
| Examiner Name        | D. Nhu             |
| Group Art Unit       | 2818               |
| Attorney Docket No.  | 501.38435VX1       |

TOTAL AMOUNT OF PAYMENT (\$ ) 1,076

**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:  
 Deposit Account Number 01-2135  
 Deposit Account Name Antonelli, Terry, Stout & Kraus, LLP  
☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant Claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:  
☐ Check ☒ Credit Card ☐ Money Order ☐ Other

**FEE CALCULATION****2. BASIC FILING FEE**

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description        | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|------------------------|----------|
| 101                   | 740                   | 201                   | 370                   | Utility filing fee     | 740      |
| 106                   | 330                   | 206                   | 165                   | Design filing fee      |          |
| 107                   | 510                   | 207                   | 255                   | Plant filing fee       |          |
| 108                   | 740                   | 208                   | 370                   | Reissue filing fee     |          |
| 114                   | 160                   | 214                   | 80                    | Provisional filing fee |          |

SUBTOTAL (1) 740

**1. EXTRA CLAIM FEES**

| Total Claims        | Extra Claims | Fee from below | Fee Paid |
|---------------------|--------------|----------------|----------|
| 7-20**              | = 0          | x 18           | = 0      |
| Indep. Claims 7-3** | = 4          | x 84           | = 336    |
| Multiple Dependent  |              |                | = 0      |

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  |
|-----------------------|-----------------------|-----------------------|-----------------------|--|
| 103                   | 18                    | 203                   | 9                     | Claims in excess of 20                                     |
| 102                   | 84                    | 202                   | 42                    | Independent claims in excess of 3                          |
| 104                   | 280                   | 204                   | 140                   | Multiple dependent claim, if not paid                      |
| 109                   | 84                    | 209                   | 42                    | ** Reissue independent claims over original patent         |
| 110                   | 18                    | 210                   | 9                     | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$ 336

\*\*or number previously paid, if greater; For Reissues, see above.

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

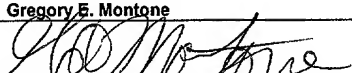
| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 105                   | 130                   | 205                   | 65                    | Surcharge - late filing fee or oath  |          |
| 127                   | 50                    | 227                   | 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                   | 130                   | 139                   | 130                   | Non-English specification  |          |
| 147                   | 2,520                 | 147                   | 2,520                 | For filing a request for ex parte reexamination                            |          |
| 112                   | 920*                  | 112                   | 920*                  | Requesting publication of SIR prior to Examination action                  |          |
| 113                   | 1,840*                | 113                   | 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 115                   | 110                   | 215                   | 55                    | Extension for reply within first month                                     |          |
| 116                   | 400                   | 216                   | 200                   | Extension for reply within second month                                    |          |
| 117                   | 920                   | 217                   | 460                   | Extension for reply within third month                                     |          |
| 118                   | 1,440                 | 218                   | 720                   | Extension for reply within fourth month                                    |          |
| 128                   | 1,960                 | 228                   | 980                   | Extension for reply within fifth month                                     |          |
| 119                   | 320                   | 219                   | 160                   | Notice of Appeal   |          |
| 120                   | 320                   | 220                   | 160                   | Filing a brief in support of an appeal                                     |          |
| 121                   | 280                   | 221                   | 140                   | Request for oral hearing   |          |
| 138                   | 1,510                 | 138                   | 1,510                 | Petition to institute a public use proceeding                              |          |
| 140                   | 110                   | 240                   | 55                    | Petition to revive - unavoidable   |          |
| 141                   | 1,280                 | 241                   | 640                   | Petition to revive - unintentional   |          |
| 142                   | 1,280                 | 242                   | 640                   | Utility issue fee (or reissue)   |          |
| 143                   | 460                   | 243                   | 230                   | Design issue fee   |          |
| 144                   | 620                   | 244                   | 310                   | Plant issue fee  |          |
| 122                   | 130                   | 122                   | 130                   | Petitions to the Commissioner  |          |
| 123                   | 50                    | 123                   | 50                    | Processing fee under 37 CFR 1.17(q)  |          |
| 126                   | 180                   | 126                   | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 581                   | 40                    | 581                   | 40                    | Recording each patent assignment per property (times number of properties) |          |
| 146                   | 740                   | 246                   | 370                   | For each additional invention to be examined (37 CFR § 1.129(a))           |          |
| 149                   | 740                   | 249                   | 370                   | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                   | 740                   | 279                   | 370                   | Request for Continued Examination (RCE)                                    |          |
| 169                   | 900                   | 169                   | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0

**SUBMITTED BY****Complete (if applicable)**

|                   |   |                                   |        |           |              |
|-------------------|---|-----------------------------------|--------|-----------|--------------|
| Name (Print/Type) | Gregory E. Montone  | Registration No. (Attorney/Agent) | 28,141 | Telephone | 703-312-6600 |
| Signature         |  |                                   |        | Date      | 02/28/2002   |

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